GUIDANCE

Project Study Report (Project Development Support) Outline

The purpose of this outline is to identify the key elements that should be documented in the PSR(PDS). The Instructions for the outline are shaded.

The PSR(PDS) is a statewide programming document. The PSR(PDS) identifies the transportation problem and the alternatives that will be studied in order to make a decision on an appropriate solution. Because it is used as a decision-making document it must identify the key issues of the transportation problem, any major issues that should be investigated and the effort and resources that are needed to complete the studies and project approval process. It is designed so that the important information can be easily obtained from the PSR(PDS) text. The attachments should contain detailed information that is needed to support or clarify information in the body of the report. Information from detailed studies is summarized in the PSR(PDS), while actual studies with raw data (e.g., TASAS data) and detailed analysis are part of the project files.

Title Sheet:
The title sheet contains a statement that identifies (1) the STIP components that are being recommended for programming and (2) the engineering document that will be used to recommend programming future support and capital components. This statement has been scripted to program only the project approval and environmental support component. This statement can be edited to include the programming of additional sequential STIP components. Underlined portions may be edited if additional support components are to be programmed. (Note: Remove underlining for specific project). Programming additional components must be consistent with current programming and funding priorities.

The Outline Form without the guidance text is available in a Microsoft Word Document on Caltrans Design Website:

http://www.dot.ca.gov/hq/oppd/pdpmb/pdpmbidx.htm

Refer to Chapter 9 of the Project Development Procedures Manual and Project Development Procedure Bulletins for general guidance on project initiation documents.

Dist. – Co. - Rte. – KP (PM).
Month/Year

PROJECT STUDY REPORT
(Project Development Support)

This document can be used to program only the Engineering and Environmental Support for Project Approval and Environmental Document component. The remaining support and capital components of the project are preliminary estimates and are not suitable for programming purposes. Either a Supplement PSR or a Project Report will serve as the programming document for the remaining support and capital components of the project.

Vicinity Map

Show:

- Study limits
- Topographical Features Listed in Report
- North Arrow

On Route _____

Between _____

And _____

SUBMITTED BY: (Optional)

_____
LOCAL AGENCY OR INTIATING FUNCTIONAL MANAGER

APPROVAL RECOMMENDED BY:

_____
PROJECT MANAGER

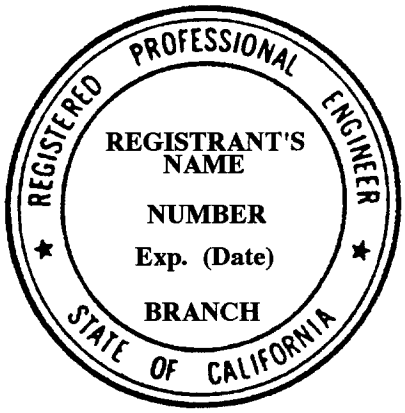
APPROVED:

_____ _____
DISTRICT DIRECTOR *DATE*

Dist. - Co. - Rte. – KP (PM)

This Project Study Report (Project Development Support) has been prepared under the direction of the following registered civil engineer. The registered civil engineer attests to the technical information contained herein and the engineering data upon which recommendations, conclusions, and decisions are based.

REGISTERED CIVIL ENGINEER *DATE*



OUTLINE
PROJECT STUDY REPORT
(Project Development Support)

Dist.-Co.-Rte.-
KP (PM)
RU EA
Program
Identification
Project Limits

1. Introduction

The introduction is a summary of the information presented in the report and should be no more than two paragraphs. In the introduction, identify the number of alternatives that will be studied and the range of capital and right-of-way costs that are associated with each alternative. Also identify the resources that are needed to complete the proposed programmed components (e.g., project approval and the environmental document phase), the schedule for proposed completion of the programmed activities, and the identification of proposed funding sources. The introduction should present the initial project category, the intended designation of the facility, and any known project approvals needed for each alternative. (PDPM ,Chapter 12).

2. Background

Describe the facility. Briefly cover any prior project history that will help in the understanding of why this project is going forward. Identify the project sponsors and project proponents. Discuss both local and regional agencies agreement of the project's need and purpose. Discuss any actions or commitments that have taken place to date regarding the proposed project. Identify what steps have been taken to obtain public involvement in selecting the alternatives to be studied. Note that this discussion of public involvement

is different from the discussion in Section 4 "Alternatives." The discussion in Section 4 focuses on identifying the public involvement needed in selection of the preferred alternative and resources needed to facilitate this involvement.

3. Need and Purpose –

Provide a concise discussion of why the project is needed. The project may be needed to improve safety conditions, provide congestion relief, improve traffic operations, provide access, or repair and maintain the existing facility. Additionally, this section should discuss applicable program objectives (e.g., Interregional Strategic Plan or Regional Transportation Plan) served by this project. This discussion should be consistent with Section 5 on System and Regional Planning.

The need and purpose should be generally supported by available information. Highlight key issues that have an effect on the need and purpose. Examples of supporting information that may be available are:

- Existing and forecasted traffic data.
- Level of Service
- Capacity
- Land use development proposals generating the need for State highway improvements.
- Maintenance Condition Surveys
- Summarized Safety and Accident Information Reports

Briefly list any controversial aspects or issues that may affect the approval of the project (e.g., known opposition, resources agency concerns, etc). It should be noted there are specific situations where the regulatory agencies must buy in on both the need and purpose of the project and on the alternative criteria. The environmental staff must be involved early in the project to identify these situations and assist in obtaining concurrence from the regulatory agencies.

4. Alternatives –

Concurrence by the Project Development Coordinator for further study of the viable alternatives included in this PSR(PDS) does not constitute approval of any non-standard features identified currently or in the future. Separate documentation and approval(s) will be required as per Chapter 21 of the PDPM.

Discuss all viable project alternatives that will satisfy project need and purpose. Usually limit the discussion to three paragraphs for each alternative. Provide an overview of the issues, identify known constraints and define the studies that are needed to evaluate each of the viable alternatives.

Alternatives that should always be considered are:

- The "No Build Alternative"
- The "Minimum Build Alternative"
- The alternative that meets current design standards.

The exclusion of any of the above alternatives must be explained. If the alternative that meets current design standards is rejected, the approval of an exception to mandatory design standards must be obtained and attached. Rejected alternatives and the justification for rejection must be discussed.

The project study footprint for each alternative must be established to include reasonable modification to the alternative. Improper identification of the project study footprint can result in unanticipated studies and project delays.

Attachments should include schematic maps of the alternatives and typical cross-sections as appropriate.

The following questions should be answered for each alternative:

- What is the scope of the alternative?
- What are project specific issues (e.g., opportunities, threats and constraints.)?
- What type of information is needed to evaluate and confidently estimate the scope, cost, and schedule for that alternative? Identify the types of engineering, right of way and environmental studies and resources that are needed to provide this information. Specific information on right of way and environmental issues should be discussed in Section 6 and 7. Recommend the timing and the level of the study that is needed to minimize changes to the scope, cost and schedule. If information is needed to facilitate a design decision, schedule the study early. However, if the information is not required to make a design decision, the study can be scheduled based on the workload and the delivery schedule. Note that although some information is important to the final design, the information does not affect the outcome of project decisions. It is important to document assumptions for recommendations.
- What types of multi-disciplinary activities that will be performed in order to facilitate the selection of an alternative that will best address the transportation problem, is safe, is acceptable to the community, reflects

the community's values, is functional and is at a reasonable cost? Be specific about any effort needed to obtain public involvement in the selection of the preferred alternative. Include any potential project approvals and project related approvals (PDPM, Chapter 12 and 13).

- Will the alternative require approval of a design exception? This evaluation will be based on the proposed design scope (e.g. number of lanes, location and length of the project, high occupancy vehicle (HOV) lanes, general interchange and intersection spacing). If an alternative requires a design exception, the Project Development Coordinator must concur that this is a viable alternative to be studied. Final approval of design scope and mandatory or advisory exceptions will be reviewed subsequent to completion of the engineering studies and will be documented in the Project Report. Include the following statement in the outline: "Concurrence by the Project Development Coordinator for further study of the viable alternatives included in this PSR(PDS) does not constitute approval of any non-standard features identified currently or in the future. Separate documentation and approval(s) will be required as per Chapter 21 of the PDPM."
- What is the estimated capital cost of each alternative? The capital cost should be expressed as a range and are not to be used for programming. The costs are for long-range planning.
- What are the operational impacts on the State highway due to the proposed alternative?

5. System and Regional Planning

Discuss the coordination and consistency of the proposed project with statewide, regional and local planning efforts using the District System Management Plan (DSMP) and Transportation Concept Reports (formerly Route Concept Reports), local and regional planning documents such as local general, specific area, and subdivision plans, the Regional Transportation Plans (RTP), Congestion Management Program (CMP), State Implementation Plan (SIP), and information on expected timing of future local development. A consultation with the IGR Coordinator may provide information on new land development projects that are not available in existing land use plans. Identify other State Highway improvements, local improvements and or any development projects within the immediate project vicinity. Also discuss the Regional and Program Objectives and the project consistency with fulfilling those objectives. Identify the date that the route was adopted, the designation of the route and describe scope of any applicable freeway or controlled access highway agreements.

6. Environmental Determination and Environmental Issues –

Briefly describe the known inventory of environmental resources and identify environmental issues. Identify existing known hazardous material/waste sites within or immediately adjacent to the proposed project. Are there potential adverse impacts that would affect the viability of alternatives? Based on the inventory of known environmental resources, describe the anticipated type of environmental document to be obtained for CEQA and identify who should be the lead agency. Describe the anticipated type of environmental determination for compliance with NEPA when involved. Provide the timeframe for completing the environmental document.

7. Right of Way

Briefly describe and compare for the proposed alternatives the right of way impacts and magnitude of impacts. Summarize impacts in terms of number of parcels that could be potentially affected, impacts to property access, preliminary estimate of right of way acquisitions. Identify and discuss any potential controversial acquisitions. See right of way data sheet.

8. Funding/Scheduling

The following tables are recommended to summarize funding and scheduling information in the PSR(PDS) as they provide the necessary level of detail for programming.

Identify the project development support costs needed to complete PA/ED, a estimated schedule for completion of major milestones and a cost estimate range for capital outlay and remaining support activities

Include the work plans in the attachments. The work plan can be in the form of a Gantt Chart to show the relationships between project tasks and milestones. The work plan is useful in assessing changes to any one item within the context of the whole project.

The “PS&E” and “Construction Complete” are used to predict the capital delivery of the next STIP cycle.

Capital Outlay Support Estimate for PA/ED

Fiscal Year	STIP PY's/$'s		Other Funding Sources PY's/$'s	
	PY's	$'s	PY's	$'s
00/01				
01/02				
02/03				
03/04				
Total Support Cost				

Document the assumptions made to determine the resource needs.

Capital Outlay Estimate

	Range for Total Cost	STIP Funds	Fund Source "A"
Alternative 1			
Alternative 2			
Alternative 3			
Alternative 4			

The level of detail available to develop these capital cost estimates is only accurate to within the above ranges and are useful for long range planning purposes only. The capital costs should not be used to program or commit capital funds. The Project Report will serve as the appropriate document from which the remaining support and capital components of the project will be programmed.

The capital costs provided in this document are not for programming purposes. Some examples of ranges that are: "less than $5M", "$5M-$25M", "$25M-$75M," or"$50M-$60". The breadth of range is based on available information and reasonable assumptions. In addition, there should be a discussion of a financial plan that identifies existing non-STIP funding sources that are being considered to complete the project.

The intent of the tables is to provide the following information:

- The cost range for each alternative.
- A list of the main funding sources for each alternative (i.e., RIP, IIP, TRCP)

– Other potential sources of funds (e.g., measure funds, developer funds).

Columns may be added to the table for each non-STIP funding source. A description of any specific funding commitment or constraint should be included in text following the table. For instance, if a city may be willing to contribute up to a fixed amount for sidewalk improvements. The city's participation must be discussed. Discuss any cooperative agreements that may be needed for various project components.

Tentative Project Schedule

Milestone	**Fiscal Year**
Circulate Draft Project Report/ Draft ED	
Public Hearing	
PA/ED	
PS&E	
Construction Completion	

Only the "PA/ED" milestone is to be used for programming commitments. All other milestones are used to indicate relative time frames for planning purposes.

The Project Schedule for the PA/ED phase is a delivery commitment. The work plan must be developed with concurrence from all functional units.

The "PS&E" and "Construction Complete" are used to predict the capital delivery of the next STIP cycle. If timeframes are different for each alternative, then develop alternative specific "PS&E" and "Construction Complete" schedules.

9. Programming Recommendation

Present the recommendation of the PSR(PDS) to program the project development support component for PA/ED in the STIP as discussed in the Funding/Scheduling section and to take the project alternatives identified in the Alternatives section for further study in the PA/ED phase. Identify any assumptions that were made. Identify any risks associated with the assumptions. Include a statement that alternatives may be added or revised during the PA/ED phase as more information becomes available.

10. District Contact

Give name and telephone number of District representatives to be contacted concerning questions on the PSR(PDS) submittal.

Additional Information:

– Signature of the Project Manager - In the concept of project management, responsibility for project development is assigned to a single individual [i.e., the Project Manager (PM)] for every State and special funded capital outlay project on the State highway system. PSR(PDS)'s are to include the endorsement of the PM; i.e., "APPROVAL RECOMMENDED BY" or "APPROVED BY" where authority has been delegated.

– Attachments -The following table provides only examples of the appropriate attachments and files. Each project should be evaluated as to the appropriate inclusion of specific reports and information.

Required Attachments to PSR(PDS)	**Optional Attachments to PSR(PDS)**	**Project Files and Supplemental Documents - note that key issues should be summarized in the PSR(PDS)**
Location and/or vicinity map	*Design Scoping Checklist or Equivalent Document	Previous Environmental Documents
Schematic Maps of the Alternatives	*Traffic Forecasting, Traffic Analysis and Traffic Operations Scoping Checklist or Equivalent Document	Biotic Assessment –
PSR(PDS) Cost Estimate for each alternative		Calculations for Level of Service
Project support cost estimate for PA/ED support		Raw Traffic Data
Preliminary Environmental Assessment Report or Equivalent Document		Complete Traffic Study
Right of Way Data Sheet or Equivalent Document		*Design Scoping Checklist or Equivalent Document
		*Traffic Forecasting, Traffic Analysis and Traffic Operations Scoping Checklist or Equivalent Document
		Initial Site Assessment (Hazardous Waste)

Required Attachments to PSR(PDS)	Optional Attachments to PSR(PDS)	Project Files and Supplemental Documents - note that key issues should be summarized in the PSR(PDS)
		Appraisal Report
		Technical Studies
		Detailed mapping
		Cooperative Agreements

*Functional scoping checklists have been provided and are worksheets for collecting and summarizing of pertinent information from specified functional units. Scoping checklists also document reviews by Headquarters' Liaisons. A Design Scoping Checklist is required, with approval of the Project Development Coordinator, for alternatives that include mandatory non-standard features. A Right of Way Data Sheet is required for all projects and must be attached. The Preliminary Environmental Assessment Report must be completed and attached for all projects. When the checklist is not required by the aforementioned reasons, the checklist should only be attached if it is needed to clarify specific issues. All required checklists must be retained in the project files.